## Rating Scale for Overall Management - FY 02-03
Before proceeding, review the new instructions below for checking and scoring Form C-2

**How to check boxes:** Check the statements that best reflect the usual behavior of the employee. Statements in the 5 point column should only be checked if the employee consistently evidences all of the applicable behaviors.
If the employee's behavior is 'better than' one of the statements but not 'as good as' the statement to the right, check the box in between (i.e., "2" or "4"). If the statement is not applicable to the job, do not check any boxes.
**Score the checked statements as follows:**
  **Points**
    1  The majority of the checked behaviors are in the left column; few or no behaviors in other columns are checked.
    2  The majority of the checks are in the "2" point column (i.e., the behaviors are 'better than' the descriptors in the "1" point column but do not match the descriptors in the "3" point column) **or** the checked behaviors are distributed between "1" and "3."
    3  The majority of the checked behaviors are in the center column ("3" points).
    4  The majority of the checks are in the "4" column (i.e., behaviors are 'better than' the descriptors in the "3" point column but do not consistently match the descriptors in the "5" column) **or** the behaviors are evenly distributed between the "3" and "5" columns.
    5  All of the relevant behaviors in the right column are checked.

**Factor Weight** [ ]

### Strategic Planning and Organizing and Managing Work

**Computations**

SF wt   x   SF pts   =   WtdPts

**Factor Points** [ ]

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Departmental mission and goals inadequately addressed in program plans and operations. | ☐ | ☐ Sets goals and schedules based on departmental mission and goals and relevant facts. | ☐ | ☐ Sets goals and schedules based on departmental mission and goals and relevant facts **and** Identifies additional contributions organizational unit can make toward departmental mission and goals. |
| ☐ Ineffective in planning regular activities. | ☐ | ☐ Develops realistic short- and long-range plans that are effective in meeting goals. | ☐ | ☐ Develops realistic short- and long-range plans that are effective in meeting goals **and** Has defined future mission and goals for the program. |
| ☐ Ineffective in organizing and directing regular activities. | ☐ | ☐ Establishes courses of action for unit to ensure that work is completed efficiently, monitors operations, and makes adjustments as new developments arise. | ☐ | ☐ Establishes courses of action for unit to ensure that work is completed efficiently, monitors operations, and makes adjustments as new developments arise **and** anticipates emerging needs and acts accordingly. |

Computations (right column):
[ ] x [ ] = [ ]
[ ] x [ ] = [ ]

**Sum of Subfactor Wts (must = Factor Wt)** [ ]

**Sum of Subfactor Weighted Points** [ ]

**Points for Factor** (Weighted points total divided by total Weight) [ ]

**Leading and Managing Change, Flexibility/Adaptability, Creative Thinking/Innovation**

Computations

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Usually relies on past practices, methods, approaches. | ☐ | ☐ Develops new ways to deal with work problems and opportunities. | ☐ | ☐ Develops different and ***novel*** ways to deal with work problems and opportunities. |
| ☐ Does not adapt behavior to current situational needs. Resists change and defends and relies on status quo. | ☐ | ☐ Adapts to changing conditions within the organization and maintains effectiveness of operations. | ☐ | ☐ Adapts to changing conditions within the organization ***and*** identifies opportunities and achieves/ facilitates a high level of performance within a newly changed situation or environment ***and*** makes changes to improve effectiveness of operations. |
| ☐ Communicates change in a negative manner. | ☐ | ☐ Promotes acceptance and implementation of change. | ☐ | ☐ Promotes acceptance and implementation of change ***and*** fosters a culture/work environment of open and ongoing receptivity to change and constant improvement. |
| | ☐ | ☐ Encourages others to address problems and opportunities. | ☐ | ☐ Encourages others to address problems and opportunities ***and*** to seek innovative approaches to addressing problems and opportunities. |
| ☐ Flounders in ambiguous situations. | ☐ | ☐ Works well in ambiguous situations. | ☐ | ☐ Works well in ambiguous situations ***and*** Anticipates new situations and work requirements. |

☐ x ☐ = ☐

☐ x ☐ = ☐

☐ x ☐ = ☐

**Sum of Subfactor Wts (must = Factor Wt)**

**Sum of Subfactor Weighted Points**

**Points for Factor** (Weighted points total divided by total Weight)

## Developing a Successful Team and Managing Human Resources

Computations

| 1 point | 2 | 3 points | 4 | 5 points | Computations |
|---------|---|----------|---|----------|--------------|
| ☐ Staff members do not understand vision, objectives and their collective responsibilities. | ☐ | ☐ Assures that staff members understand vision, objectives and their collective responsibilities. | ☐ | ☐ Assures that staff members understand vision, objectives and their collective responsibilities *and* promotes positive response. | ☐ x ☐ = ☐ |
| ☐ Work assignments reflect a mechanistic or traditional approach. | ☐ | ☐ Work assignments reflect appropriate utilization of employee skills. | ☐ | ☐ Seeks ways to enable employees to utilize unique skills, interests, attain optimal success within assigned functions and understand higher level job requirements. <br><br> ☐ Creates and assigns work assignments roles that balance expertise with opportunities for professional development among staff members. | ☐ x ☐ = ☐ |
| ☐ Inadequate employee development. | ☐ | ☐ Provides for necessary staff development to enable staff to attain success within their assigned functions. | ☐ | ☐ Provides for necessary staff development to enable staff to attain success within their assigned functions *and* develops staff capabilities for current functions and professional growth. | ☐ x ☐ = ☐ |
| ☐ Inadequate or inappropriate delegation: insufficient or excessive oversight. Fails to provide sufficient practical direction or micromanages. | ☐ | ☐ Delegates effectively. | ☐ | ☐ Delegates effectively **including** maximizing contribution of employees to the organization and minimizing time needed to process the work of the organization. | ☐ x ☐ = ☐ |
| ☐ Does not involve employees in decisions. | ☐ | ☐ Seeks employee input and/or participation in decision-making. Encourages collaboration among team members. | ☐ | ☐ Seeks employee input and/or participation in decision-making *and* encourages collaboration among team members. | ☐ x ☐ = ☐ |
| ☐ Provides little positive leadership. | ☐ | ☐ Leads by example. | ☐ | ☐ Leads by example *and* motivates a high level of performance; energizes team. | ☐ x ☐ = ☐ |

☐

| | | | | | |
|---|---|---|---|---|---|
| ☐ Evaluations of subordinates tend to be overly lenient or harsh; do not distinguish genuine differences in levels of performance. | ☐ | ☐ Evaluates subordinates appropriately and follows up appropriately. | ☐ | ☐ Evaluates subordinates appropriately and follows up appropriately despite difficult situations. | [　] x [　] = [　] |
| ☐ Less than 100% completion of PAS for subordinates directly supervised; less than 80% completion for subordinates of subordinate supervisors. (See special provisions, p.24.) | | ☐ 100% completion of PAS for subordinates directly supervised; 80% completion for subordinates of subordinate supervisors. (See special provisions, p.24.) | ☐ | ☐ 100% completion of PAS for all subordinates. (See special provisions, p.24.) | |
| ☐ Actions do not always follow requirements of collective bargaining contract provisions, State guidelines and EEO policies/requirements. | ☐ | ☐ Complies with collective bargaining contract provisions, State guidelines and EEO policies/requirements in selection, promotion and other actions affecting personnel. | | NA | [　] x [　] = [　] |

**Sum of Subfactor Wts (must = Factor Wt)**   [　] ▓ ▓

**Sum of Subfactor Weighted Points**   ▓ ▓ [　]

**Factor Weight**

**Points for Factor** (Weighted points total divided by total Weight)   [　]

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[　]   **Promoting Safety and Minimizing Loss Due to Accidents** (see Pages 24-26 for establishing targets and determining points)

**Safety Index (SI) Data**

| | |
|---|---|
| **Prior Year SI Score** = | |
| **SI Target** = | |
| **SI Score Attained** = | |

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ SI score is 20% less than target. | ☐ | ☐ SI target achieved (+ or - 9%). | ☐ | ☐ SI target exceeded by 20%. |

**Points for Factor**   [　]

## Budget Formulation and Fiscal Management

Computations

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Budget estimates are inflated or inadequate or do not conform to requirements. | ☐ | ☐ Budget estimates are realistic and conform to requirements. | | NA |
| ☐ Does not track or stay within budget. | ☐ | ☐ Expenditures are prudent, within budgeted amounts, and conform to requirements. | ☐ | ☐ Expenditures are prudent, within budgeted amounts, and conform to requirements **and** Maximizes output/services within available resources. |
| ☐ Fails to consider cost/benefit adequately in expenditures. | ☐ | ☐ Considers cost/benefit appropriately in expenditures. | ☐ | ☐ Considers cost/benefit appropriately in expenditures and seeks **and** Realizes **innovative** efficiencies, cost containment. |
| ☐ Does not actively see efficiencies and cost containment. | ☐ | ☐ Efficiencies and cost containment sought. | ☐ | ☐ Maximizes resources and minimizes costs in achieving objectives. |
| ☐ Does not pursue opportunities for revenue enhancement | ☐ | ☐ Capitalizes on sources of revenue | ☐ | ☐ Initiates revenue enhancement, e.g., entrepreneurial activities. |

Computations:

☐ x ☐ = ☐

☐ x ☐ = ☐

☐ x ☐ = ☐

**Sum of Subfactor Wts (must = Factor Wt)**

**Sum of Subfactor Weighted Points**

**Points for Factor** (Weighted points total divided by total Weight)

## Problem Analysis, Decision Making and Technical Know How

Computations

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Sometimes makes poor decisions because of failure to gather facts, obtain input from others, consider past/similar experiences, or think through the outcome. | ☐ | ☐ Decisions are sound, logical, realistic, effective and consistent with policies. | ☐ | ☐ Decisions are sound, logical, realistic, effective and consistent with policies *and* consistently demonstrates a pattern of quality decisions that reflect objective criteria and organizational needs. |
| | ☐ | ☐ Obtains relevant information from varied sources and individuals. | ☐ | ☐ Obtains relevant information from varied sources and individuals *and* Actively involves others. |
| ☐ Neglects or delays making needed decisions or fails to make decisions on a timely basis. | ☐ | ☐ Makes decisions on a timely basis. | ☐ | ☐ Makes decisions on a timely basis *and* Foresees/anticipates the need to address new issues and acts accordingly. |
| ☐ Decisions sometimes ignore professional principles. | ☐ | ☐ Decisions reflect appropriate knowledge of the subject area. | ☐ | ☐ Decisions reflect mastery of the subject area. |
| ☐ Does not take reasonable risks and/ or decisions fail to take risk factors into account. | ☐ | ☐ Exhibits prudent risk taking. | ☐ | ☐ Exhibits prudent risk taking *and* takes initiative to minimize risk and maximize success. |

Computations:

☐ x ☐ = ☐

☐ x ☐ = ☐

☐ x ☐ = ☐

☐ x ☐ = ☐

**Sum of Subfactor Wts (must = Factor Wt)**

**Sum of Subfactor Weighted Points**

**Points for Factor** (Weighted points total divided by total Weight)

**Factor Weight**

☐

**Factor Points**

## Customer Focus/Client Orientation

**Computations**

| 1 point | 2 | 3 points | 4 | 5 points | | | |
|---|---|---|---|---|---|---|---|
| ☐ Customers are not provided timely and/or quality service. ☐ Must be reminded about customer service. | ☐ ☐ | ☐ Provides timely, quality services to customers. | ☐ | ☐ Provides exceptional services to customers | ☐ | x ☐ | = ☐ |
| ☐ Does seek/use customer input or avoids service to customer groups. | ☐ | ☐ Establishes positive relationships with customers. ☐ Uses customer feedback when changing operations | ☐ | ☐ Establishes positive relationships with customers *and* Actively seeks feedback from customers *and* Acts on information to improve service. | ☐ | x ☐ | = ☐ |
| ☐ Does not initate changes to meet customer needs. | ☐ | ☐ Considers customer needs in planning/changing operations | ☐ | ☐ Anticipates customer needs and acts to meet those needs *and* Eliminates organizational barriers that interfere with providing outstanding customer service. | ☐ | x ☐ | = ☐ |

**Sum of Subfactor Wts (must = Factor Wt)** ☐ ▓ ▓

**Sum of Subfactor Weighted Points** ▓ ▓ ☐

**Points for Factor** (Weighted points total divided by total Weight) ☐

**Factor Weight**

☐

## Communication

| 1 point | 2 | 3 points | 4 | 5 points | | | |
|---|---|---|---|---|---|---|---|
| ☐ Causes problems by ineffective communications. | ☐ ☐ | ☐ Provides clear and effective oral and written communications. ☐ Listens effectively. | ☐ | ☐ Provides clear and effective oral and written communications *and* Listens effectively *and* Clearly conveys information to individuals and groups in a manner that engages the audience, helps them understand and retain the message, and permits response and feedback. | ☐ | x ☐ | = ☐ |
| ☐ Causes problems by failing to communicate when necessary. | ☐ | ☐ Keeps affected parties informed. | ☐ | ☐ Keeps affected parties informed and proactively communicates additional information, etc., to positvely affect the situation. | ☐ | x ☐ | = ☐ |

**Sum of Subfactor Wts (must = Factor Wt)** ☐ ▓ ▓

**Sum of Subfactor Weighted Points** ▓ ▓ ☐

**Points for Factor** (Weighted points total divided by total Weight) ☐

**Factor Weight**

☐

**Factor Points**

### Building Partnerships

**Computations**

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Does not initiate or respond to opportunities to develop outside relationships.<br><br>☐ Uncooperative with others in working on departmental goals. | ☐<br><br>☐ | ☐ Develops and maintains effective working relationships with others in the department, legislature, media and customers.<br>☐ Participates in mutually beneficial partnerships. | ☐ | ☐ Develops and maintains effective working relationships with others in the department, Legislature, media and customers *and*<br>Identifies opportunities and takes action to build strategic relationships with other areas, teams, etc., to help achieve business goals *and*<br>Participates in mutually beneficial partnerhips *and*<br>Identifies and implements partnership opportunities which deliver successful results to all parties *and*<br>Develops new and unique partnerhips which support the goals of the organization. |
| ☐ Does not encourage or support staff in external working relationships. | ☐ | ☐ Supports staff in the development of partnerships with others outside the organization. | ☐ | ☐ Encourages and supports staff in the development of partnerships with others outside the organization. |

Computation (top): ☐ x ☐ = ☐

Computation (bottom): ☐ x ☐ = ☐

**Sum of Subfactor Wts (must = Factor Wt)** ☐ ▮ ▮

**Sum of Subfactor Weighted Points** ▮ ▮ ☐

**Points for Factor** (Weighted points total divided by total Weight)  ☐

☐

### Interpersonal Skill

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Uncooperative with others in working on departmental goals.<br>☐ Rude and disrespectful. | ☐<br><br>☐ | ☐ Demonstrates trust, understanding and mutual respect.<br>☐ Demonstrates sensitivity to the feelings and concerns of others. | ☐ | ☐ Demonstrates trust, understanding and mutual respect *and*<br>Demonstrates sensitivity to the feelings and concerns of others<br>*and*<br>Builds trust and respect in subordinates<br>*and*<br>Skillful in resolving disputes *and*<br>Brings conflicts into the open and resolves collaboratively. |

**Points for Factor** ☐

**Factor Weight**

**Factor Points**

## Self Starter

| 1 point | 2 | 3 points | 4 | 5 points |
|---|---|---|---|---|
| ☐ Coasts, unless prompted or required by circumstances. | ☐ | ☐ Self motivated. | ☐ | ☐ Displays a high level of effort and commitment. |
| | ☐ | ☐ Sets standards of performance for self. | ☐ | ☐ Sets high standards of performance for self. |
| ☐ Complies with/relies on current practices and knowledges. | ☐ | ☐ Learns from experience and seeks self improvement. | ☐ | ☐ Seeks self improvement **and** builds on strengths and works on deficiencies. |

**Points for Factor**